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JC943 U.S. PTO

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09/692748  
10/19/00

Commissioner of Patents and Trademarks  
Box Patent Application  
Washington, DC 20231

"Express Mail" Receipt No. EL638023166US

Date of Deposit October 19, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Box Patent Application, Washington, DC 20231.

*Jennifer D. Ahern*  
Jennifer Ahern

**Subject: Transmittal of Application for United States Letters Patent**  
**Attorney Docket No. 35512-00056**

Dear Sir:

Transmitted herewith for filing is the patent application of:

Inventors: M. Chapman Findlay III, G. Michael Phillips, William P. Jennings,  
Mark E. Rice and Stephen A. Klein

Entitled: Asset Price Forecasting

The transmitted application is a Continuation-In-Part of U.S. Patent Application 09/615,025, which was filed July 13, 2000.

The filing fee has been calculated as shown below:

	No. Filed	No. Extra	Small Entity		Other Than Small Entity	
Basic Fee				\$355.00		\$710.00
Total Claims	32 - 20 =	12	x \$9=	\$108.00	x \$18=	
Ind. Claims	3 - 3 =	0	x \$40=		x \$80=	
Multiple Dependent Claims			0 + \$135=		+ \$270=	
TOTAL				\$463.00		

Enclosed are the following:

1. 42 pages of specification, claims and abstract;
2. 5 pages of formal drawings;
3. Originally Executed Declaration and Power of Attorney;
4. Originally Executed Assignment with Form PTO-1595;
5. A Verified Statement Claiming Small Entity Status under 37 C.F.R. 1.9(f) and 1.27(c);
6. Check in the amount of \$463.00 to cover filing fees; and
7. Check in the amount of \$40.00 to cover recordation fees.

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 13-3735. A duplicate copy of this sheet is enclosed.

- ☒ Any additional filing fees required under 37 C.F.R. 1.16.
- ☒ Any patent application processing fees under 37 C.F.R. 1.17.

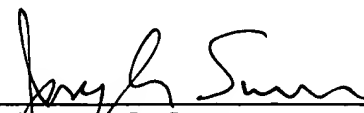
It is respectfully requested that the Commissioner accord the enclosed patent application a filing date and serial number.

Respectfully submitted,

MITCHELL, SILBERBERG & KNUPP LLP

Dated: October 19, 2000

By

  
Joseph G. Swan  
Registration No. 41,338

Applicant or Patentee: G. Michael Phillips, et al.

Attorney's

Serial or Patent No.: Not Yet Assigned

Docket No. 35512-56

Filed or Issued: Filed Herewith

For: Asset Price Forecasting

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

       I the owner of the small business concern identified below:

X I am an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: C4CAST.COM, INC.

ADDRESS OF CONCERN: 750 East Walnut Street, Pasadena, California 91101

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled Asset Price Forecasting by inventors M. Chapman Findlay, III, G. Michael Phillips, William P. Jennings, Mark E. Rice and Stephen A. Klein, described in

X the specification filed herewith  
       Application Serial No. \_\_\_\_\_, filed \_\_\_\_\_  
       Patent No. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Applicant or Patentee: G. Michael Phillips  
 Serial or Patent No.: Not Yet Assigned  
 Filed or Issued: Filed Herewith  
 For: Asset Price Forecasting

Attorney's  
 Docket No. 35512-56

**\*NOTE:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

NAME \_\_\_\_\_  
 ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

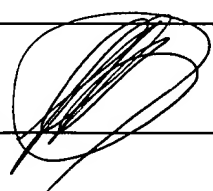
NAME \_\_\_\_\_  
 ADDRESS \_\_\_\_\_  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or a the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING G. Michael Phillips  
 TITLE OF PERSON OTHER THAN OWNER President  
 ADDRESS OF PERSON SIGNING 3580 Cartwright Street, Pasadena, California 91107

SIGNATURE \_\_\_\_\_



DATE 10-18-2000